


08-15-01

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JC904 U.S. PTO  
08/14/01Please type a plus sign (+) inside this box → 

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|   |                        |                         |
|---|------------------------|-------------------------|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><br><i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i> | Attorney Docket No.    |                         |
|   | First Inventor         | NORMAN K. OUCHI         |
|   | Title                  | ADAPTIVE WORKFLOW ROUTE |
|   | Express Mail Label No. | ET001805367 US          |

 JC986 U.S. PTO  
 09/929412  
 08/14/01

|   |  |
|---|--|
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents.   | <b>ADDRESS TO:</b> Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, DC 20231  |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><i>(Submit an original and a duplicate for fee processing)</i><br>2. <input checked="" type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.<br>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>18</u> ]<br><i>(preferred arrangement set forth below)</i><br>- Descriptive title of the invention<br>- Cross Reference to Related Applications<br>- Statement Regarding Fed sponsored R & D<br>- Reference to sequence listing, a table,<br>or a computer program listing appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings (if filed)<br>- Detailed Description<br>- Claim(s)<br>- Abstract of the Disclosure<br>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>11</u> ]<br>5. Oath or Declaration [Total Pages <u>2</u> ]<br>a. <input checked="" type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d))<br>(for continuation/divisional with Box 18 completed)<br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br>Signed statement attached deleting inventor(s)<br>named in the prior application, see 37 CFR<br>1.63(d)(2) and 1.33(b).<br>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br>Computer Program (Appendix)<br>8. Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)<br>a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br>ii. <input type="checkbox"/> paper<br>c. <input type="checkbox"/> Statements verifying identity of above copies |
| <b>ACCOMPANYING APPLICATION PARTS</b>   |  |
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement [ ] Power of<br>(when there is an assignee) Attorney<br>11. <input type="checkbox"/> English Translation Document (if applicable)<br>12. <input checked="" type="checkbox"/> Information Disclosure [ ] Copies of IDS<br>Statement (IDS)/PTO-1449 Citations<br>13. <input type="checkbox"/> Preliminary Amendment<br>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)<br>15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)<br>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122<br>(b)(2)(B)(i). Applicant must attach form PTO/SB/35<br>or its equivalent.<br>17. <input type="checkbox"/> Other:  |  |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application information

Examiner \_\_\_\_\_

Group Art Unit \_\_\_\_\_

 For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

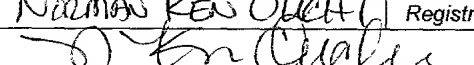
## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

|         |                    |           |              |                |
|---------|--------------------|-----------|--------------|----------------|
| Name    | NORMAN KEN OUCHI   |           |              |                |
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| City    | SAN JOSE           | State     | CA           | Zip Code 95120 |
| Country | USA                | Telephone | 408-757-5862 | Fax            |

|                   |   |                                   |              |
|-------------------|---|-----------------------------------|--------------|
| Name (Print/Type) | NORMAN KEN OUCHI  | Registration No. (Attorney/Agent) |              |
| Signature         |  | Date                              | AUG 14, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 355

## Complete if Known

Application Number

Filing Date

First Named Inventor

NORMAN K. OUCHI

Examiner Name

Group Art Unit

Attorney Docket No.

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit  
Account  
Number

Deposit  
Account  
Name

☐ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$)

101 710 201 355 Utility filing fee

106 320 206 160 Design filing fee

107 490 207 245 Plant filing fee

108 710 208 355 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid

355

SUBTOTAL (1) (\$) 355

### 2. EXTRA CLAIM FEES

Total Claims 15 -20\*\* = 0 X Fee from below = 0  
Independent Claims 3 -3\*\* = 0 X Fee Paid = 0  
Multiple Dependent =

Large Entity Small Entity

Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20

102 80 202 40 Independent claims in excess of 3

104 270 204 135 Multiple dependent claim, if not paid

109 80 209 40 \*\* Reissue independent claims  
over original patent

110 18 210 9 \*\* Reissue claims in excess of 20  
and over original patent

SUBTOTAL (2)

(\$) 0

\*\*or number previously paid, if greater, For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Small  
Entity Entity

Fee Fee Fee Fee  
Code (\$) Code (\$)

Fee Description

Fee Paid

105 130 205 65 Surcharge - late filing fee or oath

127 50 227 25 Surcharge - late provisional filing fee or  
cover sheet

139 130 139 130 Non-English specification

147 2,520 147 2,520 For filing a request for *ex parte* reexamination

112 920\* 112 920\* Requesting publication of SIR prior to  
Examiner action

113 1,840\* 113 1,840\* Requesting publication of SIR after  
Examiner action

115 110 215 55 Extension for reply within first month

116 390 216 195 Extension for reply within second month

117 890 217 445 Extension for reply within third month

118 1,390 218 695 Extension for reply within fourth month

128 1,890 228 945 Extension for reply within fifth month

119 310 219 155 Notice of Appeal

120 310 220 155 Filing a brief in support of an appeal

121 270 221 135 Request for oral hearing

138 1,510 138 1,510 Petition to institute a public use proceeding

140 110 240 55 Petition to revive - unavoidable

141 1,240 241 620 Petition to revive - unintentional

142 1,240 242 620 Utility issue fee (or reissue)

143 440 243 220 Design issue fee

144 600 244 300 Plant issue fee

122 130 122 130 Petitions to the Commissioner

123 50 123 50 Processing fee under 37 CFR 1.17(q)

126 180 126 180 Submission of Information Disclosure Stmt

581 40 581 40 Recording each patent assignment per  
property (times number of properties)

146 710 246 355 Filing a submission after final rejection  
(37 CFR § 1.129(a))

149 710 249 355 For each additional invention to be  
examined (37 CFR § 1.129(b))

179 710 279 355 Request for Continued Examination (RCE)

169 900 169 900 Request for expedited examination  
of a design application

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 0

## SUBMITTED BY

Name (Print/Type)

NORMAN KEN OUCHI

Registration No.  
(Attorney/Agent)

Signature

Norman K. Ouchi

Complete (if applicable)

Telephone

408-757-5862

Date

8-14-01

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## PATENT APPLICATION

Page 1 of 1

|          |                             |              |
|----------|-----------------------------|--------------|
| PTO-1449 | ATTY. DOCKET<br>NO          | SERIAL<br>NO |
|          | APPLICANTS Norman Ken Ouchi |              |
|          | FILING DATE                 | GROUP        |

| REFERENCE DESIGNATION |    | U.S. PATENTS       |             |                   |       |              |
|-----------------------|----|--------------------|-------------|-------------------|-------|--------------|
| EXAMINER<br>INITIAL   |    | DOCUMENT<br>NUMBER | DATE        | NAME              | CLASS | SUB<br>CLASS |
|                       | AA | US4503499          | 3/5 /1985   | Mason et al.      | 709   | 101          |
|                       | AB | US5182705          | 1/26 /1993  | Barr et al.       | 705   | 11           |
|                       | AC | US5436730          | 7/25 /1995  | Hube              | 358   | 401          |
|                       | AD | US5490097          | 2/6 /1996   | Swenson et al     | 703   | 2            |
|                       | AE | US5710921          | 1/20 /1998  | Hirose            | 709   | 106          |
|                       | AF | US5734837          | 3/13 /1998  | Flores et al      | 705   | 7            |
|                       | AG | US5745687          | 4/28 /1998  | Randell           | 709   | 201          |
|                       | AH | US5774661          | 6/30 /1998  | Chatterjee et al  | 709   | 203          |
|                       | AI | US5826020          | 10/20 /1998 | Randell           | 709   | 202          |
|                       | AJ | US5832455          | 11 /3/1998  | Hayashi et al     | 705   | 7            |
|                       | AK | US5867824          | 2/2 /1999   | Saito et al.      | 705   | 9            |
|                       | AL | US5940829          | 8/17 /1999  | Tsuiki et al      | 707   | 10           |
|                       | AM | US5978836          | 11/2/1999   | Ouchi             | 709   | 206          |
|                       | AN | US5999910          | 12/7/1999   | Rosenfeld, et al. | 705   | 7            |
|                       | AO | US5999911          | 12/7/1999   | Berg, et al.      | 705   | 9            |
|                       | AP | US6032124          | 2/29 /2000  | Saito et al.      | 705   | 9            |
|                       | AQ | US6041306          | 3/21/2000   | Du, et al         | 705   | 8            |
|                       | AR | US6151583          | 11/21/2000  | Ohmura, et al.    | 705   | 8            |
|                       | AS | US6170002          | 1/2/2001    | Ouchi             | 709   | 206          |

## FOREIGN PATENT DOCUMENTS

|  |  | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUB<br>CLAS | TRANSLATION |    |
|--|--|--------------------|------|------|-------|-------------|-------------|----|
|  |  |                    |      |      |       |             | YES         | NO |
|  |  |                    |      |      |       |             |             |    |
|  |  |                    |      |      |       |             |             |    |
|  |  |                    |      |      |       |             |             |    |
|  |  |                    |      |      |       |             |             |    |

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|          |   |
|----------|---|
|          | Schill, Distributed system and execution model for office environments, Computer Communications, Oct. 1991. |
|          | Trammell, Work Flow Without Fear, Byte, Apr. 1996.  |
| EXAMINER | DATE CONSIDERED   |

T. O. T. S. O. " a t t e n t i o n "